



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/026,226	12/19/2001	Albert J. Robichaud	PH-7306

**RECEIVED**  
**BMS PATENT LAW**

CONFIRMATION NO. 4378

24348  
BRISTOL-MYERS SQUIBB PHARMA COMPANY  
PATENT DEPARTMENT  
P.O. BOX 4000  
PRINCETON, NJ 08543-4000

FORMALITIES LETTER



\*OC000000007427229\*

FEB 13 2002

Docketed Item Decl Due  
Due Date 4/16/02  
Attorney SKL

Date Mailed: 02/06/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

*Lin C*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

DOCKETED: 3/20/02  
Due Date: 4/16/02  
No Action Required: and

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/20/2002 SFELEKE1 00000097 193880 10026226

01 FC:105 130.00 CH



PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of: Robichaud et al

CASE NO.: PH-7306

APPLICATION NO.: 10/026,226

GROUP ART UNIT: 1614

FILED: DECEMBER 19, 2001

EXAMINER: UNKNOWN

FOR: ARYL AND AMINOARYL SUBSTITUTED  
SEROTONIN RECEPTOR AGONIST AND  
ANTAGONIST LIGANDS

**RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION-FILING DATE GRANTED**

Assistant Commissioner for Patents  
Attention: Box Missing Parts  
Washington, DC 20231

Sir:

In response to the Notice to File Missing Parts of Application mailed February 6, 2002 (a copy of which is attached), enclosed is a copy of the Declaration and Power of Attorney for the above-referenced application. Please charge the \$130.00 surcharge fee applicable for filing the Declaration on a date later than the filing date to Deposit Account 193880 (Bristol-Myers Squibb Company). If the fee is insufficient or incorrect, please charge or credit the balance to the above-identified account.

Respectfully submitted,

SCOTT K. LARSEN  
ATTORNEY FOR APPLICANTS  
REGISTRATION NO. 38,532  
TELEPHONE: 302-695-1406

Dated: March 7, 2002

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL****for FY 2001**Express Mail No. EV000875622US  
Patent fees are subject to annual revision.

Complete if Known

Application Number	10/026,226
Filing Date	December 19, 2001
First Named Inventor	Albert Robichaud et al
Examiner Name	Unknown
Group / Art Unit	1614
Attorney Docket No.	PH-7306

TOTAL AMOUNT OF PAYMENT (\$)**130.00****METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- ☒ Deposit Account Number **193880**
- ☒ Deposit Account Name **Bristol-Myers Squibb Pharma Company**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
☐ Check ☐ Credit card ☐ Money Order ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
101	740	201	355	Utility filing fee	
106	330	206	160	Design filing fee	
107	510	207	245	Plant filing fee	
108	740	208	355	Reissue filing fee	
114	160	214	75	Provisional filing fee	

**SUBTOTAL (1)**

(\$)

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** = 0	X	= 0
Multiple Dependent	-3** = 0	X	= 0

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	40	Independent claims in excess of 3	
104	280	204	135	Multiple dependent claim, if not paid	
109	84	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2)**

(\$)

**3. ADDITIONAL FEES**

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	195	Extension for reply within second month	
117	920	217	445	Extension for reply within third month	
118	1,440	218	695	Extension for reply within fourth month	
128	1,960	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 (RCE)	710	279	355	Request for Continued Examination	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**130.00**

\*\*or number previously paid, if greater; For Reissues, see above

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)

Scott K. Larsen

Registration No. Attorney/Agent)

38,532

Telephone

302-695-1406

Signature

Date

March 7, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**Certificate of Mailing under 37 CFR 1.8**

the Application of: Robichaud et al

CASE NO.: PH-7306

APPLICATION NO.: 10/026,226

GROUP ART UNIT: 1614

FILED: DECEMBER 19, 2001

EXAMINER: UNKNOWN

FOR: ARYL AND AMINOARYL SUBSTITUTED SEROTONIN RECEPTOR AGONIST  
AND ANTAGONIST LIGANDS

I hereby certify that this correspondence a **Response to Notice to File Missing Parts of Application - Filing Date Granted, Declaration and Power of Attorney Form, PTO Notice to File Missing Parts and Postcard** are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

On March 8, 2002  
Date

Signature

Type or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.